

DOCUMENT DISTRIBUTION

Purpose This Air Quality Group (ESH-17) procedure describes the process for distributing and maintaining controlled procedures, plans, and other types of controlled documents.

Scope This procedure applies to the process of distributing controlled documents (such as plans and procedures) prepared by the Air Quality Group.

In this procedure This procedure addresses the following major topics:

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Hazard Control Plan The hazard evaluation associated with this work is documented in HCP-ESH-17-Office Work.

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03/13/01

CONTROLLED DOCUMENT

This copy is uncontrolled if no signatures are present or if the copy number stamp is black. Users are responsible for ensuring they work to the latest approved revision.

General Information About This Procedure

Attachments This procedure has the following attachments:

Number	Attachment Title	No. of pages
1	Example of Receipt Acknowledgment form	1

History of revision This table lists the revision history and effective dates of this procedure.

Revision	Date	Description Of Changes
0	2/22/96	New document.
1	3/13/01	Added steps for updating web page of controlled documents and made editorial changes throughout.

Who requires training to this procedure? The following personnel require training before implementing this procedure:

- procedure control coordinator

Not required to train to this procedure are:

- recipients and requesters of controlled procedures

General information, continued

Definitions specific to this procedure

Controlled Procedure: Written or pictorial information that is prepared, reviewed, and approved in accordance with established procedures; contains a document identification number and controlled document and copy numbers; is subject to revisions control; and is provided to designated individuals on controlled distribution lists.

Controlled Procedure Recipient List: A document that lists information such as the names of controlled procedures and/or a unique identifier for each procedure, the names of recipients of controlled procedures, and the copy numbers assigned to recipients.

Receipt Acknowledgment: A form that accompanies each copy of a controlled procedure or document being distributed and is signed by the recipient to indicate receipt. The form provides direction to the recipient regarding the actions necessary to maintain the controlled document.

List of Available Procedures: A document that lists, at a minimum, the title, effective date, and current revision of each controlled procedure.

References

The following document is referenced in this procedure:

- ESH-17-024, "Personnel Training"
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Note

Actions specified within this procedure, unless preceded with "should" or "may," are to be considered mandatory guidance (i.e., "shall").

Requesting controlled procedures

Background Controlled procedures are intended to be available in or near the work area to those performing work explained in the procedure. All individuals do not need to have their own copies of a procedure if another copy is readily available nearby.

Except for working copies that have a 90 day expiration, an individual must be assigned to be responsible for the controlled copies.

**How to
request a
controlled
procedure**

Any **employee** may request any combination or number of controlled procedures for themselves or for other employees he/she supervises.

The controlled procedure may be requested as either:

- a regular controlled document assigned to an individual (see section *Distributing Controlled Documents*), or
- as a working copy with a 90 day effective period (see section *Distributing Working Copies*).

The **employee** or **supervisor** requesting a controlled procedure notifies the procedure control coordinator by phone or memo and provides the

- title of the controlled document,
- either
 - the recipient's name and location (e.g., mail stop), or
 - for working copies, the location where the working copy will be used.

Logging and tracking controlled procedures

Issuing new procedure numbers

The **QA Officer** keeps a log of group procedures and their numbers. When a request for a new number is made, the QA Officer issues new numbers to the preparers of procedures and records the new titles and numbers on the log of procedures.

Logging new or revised procedures

The **procedure control coordinator** receives final approved procedures ready for distribution from preparers.

When a new or revised procedure is received, the coordinator:

- updates the revision number and effective date in the Document Control database.
- enters the effective date of procedures on the cover page (page 1) and on the History of Revisions (page 2). The effective date is always after the approval signature dates and should be the anticipated date of first distribution.
- updates the Document Control database to reflect the new procedure, deleted procedure, or revised procedure(s).

Distributing controlled procedures

Background Distributions of controlled procedures are made for three major reasons: a new procedure is being released, a current procedure is being replaced by a revision, or an individual has requested a copy of one or more existing procedures.

All employees need to be aware of the existence of other controlled procedures or documents that could govern their work. The List of Available Procedures is distributed to all employees who receive controlled procedures. This list is not considered a controlled document.

When to do distributions A distribution of new and/or revised controlled procedures should be made for as many finalized procedures at one time as possible; however, a distribution of a finalized procedure should not be delayed more than about two weeks while awaiting other procedures.

A distribution of existing procedures to an individual should be done as soon as possible to allow the employee to begin work.

How to do a distribution The **procedure control coordinator** performs the following steps to distribute one or more controlled procedures:

Step	Action
1	Print out the List of Available Procedures from the Document Control database and make an appropriate number of copies of the List and the procedure(s) as necessary for distribution. NOTE: The procedure copies should be made double-sided on 3-hole-punched paper. The List may be copied single-sided.
2	Mark the first page of the controlled document “CONTROLLED COPY” using indelible red ink; for example, with a stamp. NOTE: Copies of group controlled documents that are not marked “controlled” will be assumed to be uncontrolled information copies that cannot be used to govern work.
3	Assign a unique number to each copy of the procedure.
4	Update the Document Control database that identifies the recipient(s) of the procedure(s), their unique procedure number, and the location of the recipient.

Distributing controlled procedures, continued

Step	Action
5	For each individual who is to receive a controlled copy, use the Document Control database to print out complete Receipt Acknowledgments (see example in Attachment 1) that includes appropriate detailed instructions for removing the previous revision, inserting the new List of Available Procedures, removing deleted procedures, signing and returning the form, etc.
6	Distribute the controlled document(s), the Receipt Acknowledgment, and a copy of the List of Available Procedures to each employee who requested a new procedure or to each employee who has a controlled copy of the previous revision. A copy of the Training Form may also be included to facilitate personnel retraining.
7	Distribute a new List of Available Procedures to all employees with any controlled documents (the list is not considered a controlled document).
8	Notify the web page administrator of the documents that have been distributed and deleted.
9	Notify the group members (may be done via e-mail) that a distribution of new or revised documents has been made.

Update web listing of controlled procedures

The **web page administrator** makes appropriate changes to the web page that lists and links to the controlled documents.

Periodically, the **web page administrator** checks the web page listing of available documents against the List of Available Procedures to ensure the lists match.

Return receipt acknowledgments

After the distribution is made, the **procedure control coordinator**:

- ensures that all Receipt Acknowledgment forms are returned within the specified time period and follows up by phone or written notice with those who are delinquent.
- after all Receipt Acknowledgments for a given distribution have been returned, submits the forms to the records coordinator.

Distributing working copies

Background Working copies of procedures may be used during field work when a team of individuals follows the procedure and the chance of losing or damaging the procedure is greater. Such copies are not assigned to an individual who will receive the next revision, so they have an expiration date after which the copy may not be used.

Distributing working copies of procedures For procedures requested as working copies, the **procedure control coordinator** marks the first page of the controlled document copy with red indelible ink similar to the following:

CONTROLLED WORKING COPY

EFFECTIVE FROM _____ TO _____.

The time from the beginning to ending effective date cannot exceed 90 days.

The **procedure control coordinator** distributes the working copy to the individual who requested it without further documentation.

Maintenance of superseded controlled documents

Background Copies of superseded procedures are available for reference, if needed. These copies are kept by the procedure control coordinator.

Superseded procedures The **procedure control coordinator** maintains a copy of all superseded controlled documents. Such documents should be marked:

SUPERSEDED BY:

(Document title and date)

Reviewing controlled document recipient list

Background

It is important to ensure that all employees who follow controlled procedures have a copy available. Though each employee does not need an assigned copy, a controlled copy must be available in or near the work area. The need for controlled copies changes as supervisors change the job assignments of their employees.

The review of the list of controlled document recipients provides the opportunity to determine who may need copies of controlled procedures and who may return copies no longer needed.

Sending recipient lists for review

Periodically (at least twice a year but preferably four times a year), the **procedure control coordinator** prepares a list or table containing names of employees and corresponding controlled procedures received by each employee. The list will include instructions to supervisors to

- review the list to ascertain that all employees who need a procedure either have access to a controlled copy in or adjacent to their work areas or receive a controlled copy directly;
 - request changes in the controlled document distribution as appropriate.
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When procedures are no longer needed

When an employee no longer needs a procedure or set of procedures, the **employee** or the **supervisor** notifies the procedure control coordinator. The unneeded procedures should be returned to the procedure control coordinator so the copy numbers are then available for re-use.

If the unneeded copies are not returned to the procedure control coordinator, the employee should mark the copies “Uncontrolled” to help prevent inadvertent use of the procedures as controlled copies.

Records resulting from this procedure

Records

The following records generated as a result of this procedure are to be submitted as records to the Records Coordinator:

- controlled distribution lists
- Receipt Acknowledgment forms
- superseded controlled documents
- master list of controlled documents

EXAMPLE OF RECEIPT ACKNOWLEDGMENT FORM

Air Quality Group, ESH-17 Controlled Document Receipt Acknowledgment

To:

Date printed:

The following controlled documents are being transmitted to you. Please follow the general instructions below to add the new documents and return the obsolete copies. You are responsible for maintaining these copies.

Transmitted documents:

List of Available Procedures for ESH-17

Rev.	Copy No.
Example	

Instructions:

Remove old "List of Available Procedures."

Insert new "List of Available Procedures."

For any transmitted documents with revision numbers of 0, insert new document.

For any transmitted documents with revision numbers of 1 or higher, remove the old document and replace with new document.

I have received these documents and have followed the instructions above.

Signature

Print name

Date

Return this form and obsolete controlled documents to April Baldonado at ESH-17, MS J978.

